



**TO:** All Indiana Department of Workforce Development Employees

**FROM:** Teresa L. Voors *TLV*  
Commissioner, Indiana Department of Workforce Development

**THROUGH:** Mary E. Johnson, Director, DWD Human Resources *MJ*

**DATE:** May 2, 2008

**SUBJECT:** DWD Policy 2007-38  
The Indiana Department of Workforce Development's New "Go Out and Learn"  
(GOAL) Tuition Assistance Program beginning January 1, 2008

#### **PURPOSE**

The purpose of this policy is to define all the parameters, guidelines and procedures for the administration of the new Indiana Department of Workforce Development's GOAL program which began on January 1, 2008.

#### **RESCISSIONS**

All previously published policies and procedures established by the Indiana Department of Workforce Development (DWD) or the Council for Adult and Experiential Learning (CAEL) concerning the administration of the GOAL program prior to January 1, 2008 are rescinded.

#### **CONTENT**

Holding true to its vision, mission and values, DWD vows to aggressively empower Indiana workers to become a highly-skilled and competitive workforce, and, on a daily basis, continue to raise everyone up one level. The same applies to DWD's workforce. DWD employees are encouraged to be proactive in seeking personal and professional development opportunities.

DWD enthusiastically offers GOAL to employees as an incentive to pursue certification and higher education programs that can enhance their tenure, career development and employability. GOAL is administered in-house by DWD Human Resources (DWD/HR), and offers two convenient methods for payment of tuition, course fees and required textbooks. Complete program information about GOAL is available on DWITE, DWD's intranet website. Inquiries may be directed to [DWANGOAL@dwd.in.gov](mailto:DWANGOAL@dwd.in.gov).

## **APPROVAL**

The spirit of the GOAL program is to encourage DWD employees to pursue a degree and/or increase their workforce value. DWD may require you to complete your core classes first and then fulfill your degree's required electives. The Human Resources Director will be the final approving authority using the director's discretion for all classes. It may be requested that an employee provide justification for classes to ensure they pertain to their degree requirements.

## **PARTICIPANT ELIGIBILITY**

The following criteria must be met to obtain and maintain GOAL eligibility:

- 1) Regular (not intermittent and not temporary), permanent (not probationary) full-time (not part-time) DWD employee status, and
- 2) Completion of six (6) consecutive months of DWD employment, and
- 3) Not on disciplinary status at the time of enrollment in the course(s), and
- 4) Enrollment in a certificate, state licensure or degree-seeking program administered by an accredited institution (e.g., trade, technical or vocational school, community or junior college, college or university, or certified training institute), and
- 5) Verification of satisfactory course completion within 30 days of the course end date by submitting a photocopy of official grade documentation issued by the institution or school, and
- 6) Complying with all guidelines and procedures set forth within this GOAL policy.

## **PARTICIPANT DISQUALIFICATION**

Employees who fail to comply with all guidelines and procedures set forth within this GOAL policy will be disqualified from GOAL eligibility. Additional causes for disqualification include (but are not limited to):

- 1) Failing to complete a course funded (wholly or partially) by GOAL.
- 2) Failing to earn a passing grade (e.g., A, B, C, D, Credit, Pass, etc.) in a course funded (wholly or partially) by GOAL.
- 3) Failing to provide required documentation within 30 days of course completion.

An employee disqualified from GOAL eligibility may request reconsideration of GOAL eligibility reinstatement by:

- 1) Submitting to GOAL a written appeal (500 words or less) for reconsideration, and
- 2) Reimbursing GOAL in full for any monies disbursed in connection with the cause for disqualification (e.g., dropped or failed course, etc.).

## **COURSEWORK ELIGIBILITY**

All coursework and GOAL funding must be pre-approved through the GOAL application process.

All core and elective courses required for completion of a certificate, state licensure, associate's, bachelor's, master's or doctoral degree program offered through, or in association with, an accredited training or educational institution, school or professional organization are eligible for GOAL funding.

Additional eligible coursework includes:

- 1) Credit/no-credit and pass/fail courses.
- 2) Refresher courses and courses being audited.
- 3) Online courses.
- 4) Preparatory coursework for certification or state licensure (e.g., CPA, PHR/SPHR, ISBA, etc.).

### **COURSE ATTENDANCE**

Course attendance and study time may not occur on State work time. Use of accrued paid leave, flextime or an Alternate Work Schedule (AWS) may be requested and, as always, requires prior management approval. Such requests are considered and approved by management on a case-by-case basis depending on factors such as operational need, employee past performance, etc.

### **BENEFIT AMOUNT**

Each eligible employee may use up to \$5,000 per the State of Indiana's fiscal year (July 1 through June 30) for payment of tuition, required fees (e.g., athletic development, student activity, facility, lab, etc.), and required textbook fees for approved coursework during the specified academic term. Expenses submitted to GOAL will be considered during the fiscal year in which the academic term or coursework begins, and will be deducted from the total \$5,000 available for that fiscal year. Unused GOAL funds do not accumulate or carry over from year-to-year.

### **GOAL FUND RESTRICTIONS**

Financial assistance and scholarship awards must be adjusted and deducted from the total enrollment invoice amount due prior to submission of the invoice to GOAL for payment consideration.

Additionally, GOAL funds cannot pay or reimburse:

- 1) Bank finance charges.
- 2) Deferred payment or installment fees.
- 3) Equipment rental or purchases.
- 4) Fees for certification exams or state licensure exams (e.g., CPA, PHR/SPHR, ISBA, etc.).
- 5) Fees for undergraduate and graduate entrance exams (i.e., SAT, GMAT, LSAT, GRE, etc.).
- 6) Preparatory coursework for undergraduate and graduate entrance exams (e.g., SAT, GMAT, LSAT, GRE, etc.).
- 7) Graduation or diploma expenses.
- 8) Healthcare premiums or expenses.
- 9) Late fees, fines or penalties (e.g., late registration, late payment, library, parking, etc.).
- 10) Parking expenses.
- 11) Refundable charges or security deposits.
- 12) State sales tax (e.g., on textbooks, etc.).
- 13) Transcript fees.
- 14) Any other fees or expenses that are not specifically for tuition, required course fees, or required textbooks.

### **APPLICATION PROCESS**

DWD employees must obtain pre-approval for GOAL funding and verification of GOAL eligibility prior to each course registration. GOAL is administered by DWD/HR and all questions, applications and required documentation, and requests for pre-approval and eligibility verification should be directed to DWD/HR. The Human Resources Director is the final approving authority for all applications.

The DWD "Training Registration and Request for Payment/Reimbursement" form serves as the GOAL application and should be accessed on DWITE. See the example of the online form in this policy's Attachment. To apply for GOAL funding consideration, the employee should:

- 1) Complete the GOAL application online, and
- 2) Print out the GOAL application, and
- 3) Attach all required documentation to the GOAL application, and
- 4) Obtain approval signatures from the supervisor and division director on the GOAL application, and
- 5) Submit the GOAL application and all required documentation to DWD/HR for consideration.

Upon final verification of GOAL funds availability (subject to the employee's \$5,000 annual cap) and employee eligibility by DWD/HR, the final approval signature of the DWD Chief Financial Officer will be obtained by DWD/HR and payment or reimbursement processing will begin. The employee will be notified immediately of any issue concerning GOAL funds availability or GOAL eligibility.

Employees are encouraged to consult with DWD/HR prior to course registration if questions or concerns exist regarding GOAL policy, eligible coursework, payment or reimbursement procedures.

### **REQUIRED DOCUMENTATION FOR THE TWO TYPES OF TUITION REIMBURSEMENT**

Reimbursement requests, those to be paid directly to the employee, require the following documents be attached to the GOAL application at the time of submission for consideration:

- 1) Proof of payment (e.g., cancelled check, charge card receipt, etc.), and
- 2) Original receipts (photocopies of receipts cannot be accepted) showing itemized tuition, course fees and/or textbook expenses, and
- 3) State Form 23743, W-9 "Taxpayer Identification Number Request" (required only once with the initial GOAL application for reimbursement), and
- 4) State Form 47551, "Automated Direct Deposit Authorization Agreement" (required only once with the initial GOAL application for reimbursement).

Direct payment requests, those to be paid directly to the institution or school, require the following documents be attached to the GOAL application at the time of submission for consideration:

- 1) Account statement or enrollment invoice itemizing tuition, course fees and/or textbook expenses, and
- 2) Course registration or class schedule verifying the academic term and course numbers/titles.

### **PAYMENT PROCESS**

An "Authorization to Invoice" will be issued to the institution or school by DWD/HR upon final approval of the request for direct payment. The Authorization requests the institution or school submit an invoice billable to GOAL on behalf of the eligible employee for allowable charges.

All enrollment invoices submitted to GOAL for payment and all receipts submitted to GOAL for reimbursement must comply with guidelines set forth by the Auditor of State. All payees are required to be registered with the Auditor of State (State Form 23743, W-9 "Taxpayer Identification Number Request") and must be established for direct deposit (State Form 47551, "Automated Direct Deposit Authorization Agreement"). Both forms are available on DWITE.

Institutions and schools unable or unwilling to comply with the Auditor of State guidelines cannot be paid by the Auditor of State's Office. In these situations, employees may opt to pay expenses up-front and later submit a GOAL application and eligible receipts for reimbursement consideration.

Employees unable or unwilling to comply with Auditor of State guidelines cannot be paid by the Auditor of State's Office. In these situations, employees may opt to submit a GOAL application and required documentation for consideration of direct payment to the institution or school.

All GOAL funds are disbursed directly from the Auditor of State's Office to the designated payee. While payment requests are processed as quickly as possible, usually within 30 days, employees should note there is no guarantee of payment date.

**Review Date**  
September 1, 2009

**Ownership**  
Human Resources  
Indiana Department of Workforce Development  
10 North Senate Avenue  
Indianapolis, IN 46204  
Telephone: (317) 233-8594  
E-mail: DWDHumanResources@dwd.in.gov

**Effective Date**  
January 1, 2008

**Action**  
All DWD employees must follow this policy when requesting consideration of funding through the GOAL program.

**Attachment**  
State Form 53520 (3-08), Training Registration & Request for Payment/Reimbursement



# TRAINING REGISTRATION & REQUEST FOR PAYMENT / REIMBURSEMENT

State Form 53520 (3-08)  
INDIANA DEPARTMENT OF WORKFORCE DEVELOPMENT  
Approved by State Board of Accounts, 2008

- INSTRUCTIONS:** 1. Use this form to register and request funding approval for all training, conferences, and for application to the GOAL program.  
2. Complete applicable fields, print, attach required documentation, obtain supervisor and director approval, then submit to DWD/HR.

## MAKE CHECK PAYABLE TO:

Payee: \_\_\_\_\_  
Attention: \_\_\_\_\_  
Address: \_\_\_\_\_  
City/St/ZIP: \_\_\_\_\_

## CLICK TO SELECT PROGRAM TYPE:

- ☒ GOAL Direct Payment to School (attach enrollment documentation)  
☐ GOAL Reimbursement to Employee (attach original receipts)  
☐ DWD Approved Training (attach registration documentation)  
☐ DWD Approved Conference (attach registration documentation)

## JUSTIFICATION:

	Employee/Student #1	Employee/Student #2	Employee/Student #3	Employee/Student #4
Employee Name:				
Employee Work ID #:				
Employee School ID #:				
Employee Attorney #:				
Employee Office / Room #:				
Employee Phone #:				
Employee Fax #:				
Employee E-mail:				
Supervisor Name:				
Supervisor Phone #:				
Supervisor E-mail:				
DWD Department #:	Select DEPT #	Select DEPT #	Select DEPT #	Select DEPT #
DWD Project Code:				
DWD Activity Code:				
School / Host / Vendor Name:				
Location / Campus:				
Type of Program:	Select PROGRAM TYPE	Select PROGRAM TYPE	Select PROGRAM TYPE	Select PROGRAM TYPE
Academic Major:				
Course / Event Date(s):				
1 Course & Session #:				
1 Course / Event Title:				
2 Course & Session #:				
2 Course / Event Title:				
3 Course & Session #:				
3 Course / Event Title:				
Total Tuition / Fees / Books \$:	\$ -	\$ -	\$ -	\$ -

Requestor's Name	Requestor's Phone	Requestor's FAX	Requestor's E-mail	Request Date	TOTAL REQUEST AMOUNT
					\$ -

Supervisor's Printed Name	Supervisor's Approval Signature & Date	Director or Deputy Comm Name	Director or Deputy Comm Signature & Date

## FOR INTERNAL USE ONLY:

CFO Approval	Date	GOAL Approval	Date	HRD Approval - Name (GOAL Only)	HRD Signature & Date